

Express Mail No.: EL 477 032 354 US

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-183-999

SERIAL NO.

To Be Assigned (Continuation of  
Application No. 09/489,218)

APPLICANT

Pramod K. Srivastava

FILING DATE

On Even Date Herewith

GROUP

To Be Assigned

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
DT	AA	5,997,873	12/07/99	Srivastava			
DT	AB	5,961,979	10/05/99	Srivastava			
DT	AC	6,168,793	01/02/01	Srivastava et al.			
DT	AD	5,985,270	11/16/99	Srivastava			
DT	AE	5,935,576	08/10/99	Srivastava			
DT	AF	6,048,530	04/11/00	Srivastava			
DT	AG	6,030,618	02/29/00	Srivastava			
DT	AH	6,017,544	01/25/00	Srivastava			
DT	AI	4,690,915	09/01/87	Rosenberg			
DT	AJ	5,188,964	02/23/93	McGuire et al.			
DT	AK	5,232,833	08/03/93	Sanders et al.			
DT	AL	5,288,639	02/22/94	Burnie et al.			
DT	AM	5,348,945	09/20/94	Berberian et al.			
DT	AN	5,750,119	05/12/98	Srivastava			
DT	AO	5,830,464	11/03/98	Srivastava			
DT	AP	5,837,251	11/17/98	Srivastava			
DT	EG	09/412,420		Srivastava			10/05/99
DT	EH	09/454,734		Srivastava			12/06/99
DT	EI	09/657,722		Srivastava			09/08/00
DT	EM	09/489,218		Srivastava			09/21/00

US PTO  
09/992613  
11/14/01

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
DT	AQ	WO 89/12455	12/28/89	PCT				
DT	AR	WO 90/02564	03/22/90	PCT				
DT	AS	WO 91/15572	10/17/91	PCT				
DT	AT	WO 92/01717	02/06/92	PCT				
DT	AU	WO 92/08484	05/29/92	PCT				
DT	AV	WO 92/08488	05/29/92	PCT				
DT	AW	WO 93/14118	07/22/93	PCT				
DT	AX	WO 93/17712	09/16/93	PCT				

if copy file 1 added 2-17-06

AY	WO 93/18146	09/16/93	PCT				
AZ	WO 93/18147	09/16/93	PCT				
BA	WO 93/18150	09/16/93	PCT				
BB	WO 93/21529	10/28/93	PCT				
BC	WO 93/24136	12/09/93	PCT				
BD	WO 94/03208	02/17/94	PCT				
BE	WO 94/03599	02/17/94	PCT				
BF	WO 94/04676	03/03/94	PCT				
BG	WO 94/11513	05/26/94	PCT				
BH	GB 2 251 186A	07/01/92	United Kingdom				

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

BI	Aldovini et al. (1992) "The New Vaccines", <i>Technology Review</i> pp. 24-31.
BJ	Barrios et al. (1992) "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines that can circumvent the need for adjuvants and Bacillus Calmette Guérin priming", <i>Eur. J. Immunol.</i> 22:1365-1372.
BK	Barrios et al. (1994) "Specificity of antibodies induced after immunization of mice with the mycobacterial heat shock proteins of 65 kD", <i>Clin. Exp. Immunol.</i> 98:224-228.
BL	Barrios et al. (1994) "Heat shock proteins as carrier molecules: <i>in vivo</i> helper effect mediated by <i>Escherichia coli</i> GroEL and DnaK proteins requires cross-linking with antigen", <i>Clin. Exp. Immunol.</i> 98:229-233.
BM	Basombrio (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462.
BN	Bensaude et al. (1983) "Spontaneous high expression of heat-shock proteins in mouse embryonal carcinoma cells and ectoderm from day 8 mouse embryo", <i>EMBO J.</i> 2:173-177.
BO	Blachere et al. (1993) "Heat Shock Protein Vaccines Against Cancer," <i>Journal of Immunotherapy</i> 14:352-356.
BP	Blachere and Srivastava (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells", <i>J. Cellular Biochem. Keystone Symposia</i> NZ502, p. 124.
BQ	Boon (1992) "Toward a genetic analysis of tumor rejection antigens", <i>Advances in Cancer Research</i> 58:177-210.
BR	Cohen (1993) "Cancer Vaccines Get A Shot In the Arm", <i>Science</i> 262:841-843.
BS	Craig (1993) "Chaperones: Helpers Along the Pathways to Protein Folding", <i>Science</i> 260:1902-1904.
BT	Ebert (1987) "Characterization of an immunosuppressive factor derived from colon cancer cells", <i>J. Immunol.</i> , 138(7):2161-2168.
BU	Elliott et al. (1990) "Naturally Processed Peptides", <i>Nature</i> 348:195-197.
BV	Falk et al. (1991) "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296.
BW	Falk et al. (1990) "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251.
BX	Fedweg and Srivastava (1993) "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", <i>Mount Sinai School of Medicine</i> NZ 206, p. 108.
BY	Flynn et al. (1989) "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390.
BZ	Flynn et al. (1991) "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730.
CA	Franklin (1993) "Making vaccines fit the cancer", <i>New Scientist</i> 140:17.
CB	Gething et al. (1992) "Protein Folding in the Cell", <i>Nature</i> 355:33-45.

Judy-Lill Tolwell 2-17-96

JS	CC	Globerson and Feldman (1964) "Antigenic specificity of benzo[a]pyrene-induced sarcomas", <i>Journal of the National Cancer Institute</i> 32(6):1229-1242.
JS	CD	Heike et al. (1994) "Protective cellular immunity against a spontaneous mammary carcinoma from ras transgenic mice," <i>Immunobiology</i> 190(4-5):411-423.
JS	CE	Huber et al. (1982) "Protease inhibitors interfere with the transforming growth factor- $\beta$ -dependent but not the transforming growth factor- $\beta$ -independent pathway of tumor cell-mediated immunosuppression", <i>J. Immunol.</i> 148(1):277-284.
JS	CF	Jakob et al. (1993) "Small Heat Shock Proteins Are Molecular Chaperones", <i>J. Biol. Chem.</i> 268:1517-1520.
JS	CG	Jardetzky et al. (1991) "Identification of Self Peptides Bound to Purified HLA-B27", <i>Nature</i> 353:326-329.
JS	CH	Lakey et al (1987) "Identification of a peptide binding protein that plays a role in antigen presentation", <i>Proc. Natl. Acad. Sci. USA</i> 84:1659-1663.
JS	CI	Lanzavecchia (1993) "Identifying Strategies for Immune Intervention", <i>Science</i> 260:937-944.
JS	CJ	Levinson et al. (1979) "Metal Binding Drugs Induce Synthesis of Four Proteins in Normal Cells", <i>Biol Trace Element Research</i> 1:15-23.
JS	CK	Lévy (1991) "ATP is Required for In Vitro Assembly of MHC Class I Antigens but Not for Transfer of Peptides across the ER Membrane", <i>Cell</i> 67:265-274.
JS	CL	Li et al. (1994) "A critical contemplation on the role of heat shock proteins in transfer of antigenic peptides during antigen presentation", <i>Behring Institute Mitteilungen</i> 94:37-47.
JS	CM	Li and Srivastava (1993) "Tumor rejection antigen gp96/grp94 is an ATPase: Implications for protein folding and antigen presentation", <i>EMBO J.</i> 12(8):3143-3151.
JS	CN	Lindquist and Craig (1988) "The heat-shock proteins", <i>Ann. Rev. Genet.</i> 22:631-677.
JS	CO	Luescher et al. (1991) "Specific Binding of Antigenic Peptides to Cell-associated MHC Class I Molecules", <i>Nature</i> 351:72-77.
JS	CP	Lukacs et al. (1993) "Tumor cells transfected with a bacterial heat-shock gene lose tumorigenicity and induce protection against tumors", <i>J. Exp. Med.</i> 178:343-348.
JS	CQ	Lussow et al. (1991) "Mycobacterial heat-shock proteins as carrier molecules", <i>Eur. J. Immunol.</i> 21:2297-2302.
JS	CR	Madden et al. (1991) "The Structure of HLA-B27 Reveals Nonamer Self-peptides Bound in an Extended Conformation", <i>Nature</i> 353:321-325.
JS	CS	Maki et al. (1993) "Mapping of the Genes for Human Endoplasmic Reticular Heat Shock Protein gp96/grp94", <i>Somatic Cell Mol. Genetics</i> 19(1):73-81.
JS	CT	Maki et al. (1990) "Human homologue of murine tumor rejection antigen gp96: 5'-Regulatory and coding regions and relationship to stress-induced proteins", <i>Proc. Natl. Acad. Sci. USA</i> 87:5658-5663.
JS	CU	McCall et al. (1989) "Biotherapy: A New Dimension in Cancer Treatment", <i>Biotechnology</i> 7:231-240.
JS	CV	Melnick (1985) "Virus Vaccines: An Overview", <i>Proceedings of the First Annual Southwest Foundation for Biomedical Research International Symposium, Houston, Texas, 8-10 November 1984, American Society for Microbiology</i> pp. 1-13.
JS	CW	Mizoguchi et al. (1982) "Alteration in signal transduction molecules in T lymphocytes from tumor-bearing mice", <i>Science</i> 258:1795-1798.
JS	CX	Nelson et al. (1992) "The Translation Machinery and 70 kd Heat Shock Protein Cooperate in Protein Synthesis", <i>Cell</i> 71:97-105.
JS	CY	Palladino et al. (1987) "Expression of shared tumor-specific antigen by two chemically induced BALB/c sarcomas", <i>Cancer Research</i> 47:5074-5079.
JS	CZ	Prehn and Main (1957) "Immunity to methylcholanthrene-induced sarcomas", <i>Journal of the National Cancer Institute</i> 18(6):769-778.
JS	DA	Rothman (1989) "Polypeptide Chain Binding Proteins: Catalysts of Protein Folding and Related Processes in Cells", <i>Cell</i> 59:591-601.
JS	DB	Rötzschke et al. (1990) "Isolation and Analysis of Naturally Processed Viral Peptides as Recognized by Cytotoxic T cells", <i>Nature</i> 348:248-251.
JS	DC	Salk et al. (1993) "A Strategy for Prophylactic Vaccination Against HIV", <i>Science</i> 260:1270-1272.

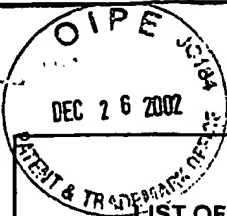
Jobs File Tatum 2-17-06

JS	DD	Schumacher et al. (1991) "Peptide Selection by MHC Class I Molecules", <i>Nature</i> 350:703-706.
JS	DE	Srivastava et al. (1991) "Protein Tumor Antigens", <i>Curr. Opin. Immunol.</i> 3:654-658.
JS	DF	Srivastava et al. (March 1993) "Evidence for peptide-chaperoning by the endoplasmic reticular heat shock protein GP96: Implications for vaccination against cancer and infectious diseases", <i>J Cell Biochem Suppl</i> 17D:94 (Abstract NZ014).
JS	DG	Srivastava et al. (1984) "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is also its Tumor-Associated Transplantation Antigen", <i>Int. J. Cancer</i> 33:417-422.
JS	DH	Srivastava et al. (1989) "Identification of a Human Homologue of the Murine Tumor Rejection Antigen GP96," <i>Cancer Res.</i> 49:1341-1343.
JS	DI	Srivastava et al. (1988) "Individually Distinct Transplantation Antigens of Chemically Induced Mouse", <i>Immunology Today</i> 9:78-83.
JS	DJ	Srivastava et al. (1987) "5'-Structural analysis of genes encoding polymorphic antigens of chemically induced tumors", <i>Proc. Natl. Acad. Sci. USA</i> 84:3807-3811.
JS	DK	Srivastava et al. (1993) "Peptide-Binding Heat Shock Proteins in the Endoplasmic Reticulum: Role in Immune Response to Cancer and in Antigen Presentation", <i>Advances in Cancer Research</i> 62:153-177.
JS	DL	Srivastava and Maki (1991) "Stress-induced proteins in immune response cancer", <i>Microbiol. Immunol.</i> 167:109-123.
JS	DM	Srivastava and Heike (1986) "Tumor-specific immunogenicity of stress-induced proteins: Convergence of two evolutionary pathways of antigen presentation?", <i>Seminars in Immunology</i> 3:57-64.
JS	DN	Srivastava et al. (1986) "Tumor rejection antigens of chemically induced sarcomas of inbred mice", <i>Proc. Natl. Acad. Sci. USA</i> 83:3407-3411.
JS	DO	Srivastava (1991) "Tumor-specific Immunogenicity of Stress-induced Proteins: Covergence of Two Evolutionary Pathways of Antigen Presentation?", <i>Semin Immunol.</i> 1991 Jan;3(1):57-64.
JS	DP	Srivastava et al. (1994) "Heat Shock Proteins Transfer Peptides During Antigen Processing and CTL Priming", <i>Immunogenetics</i> 39:93-98.
JS	DQ	Subbarao et al. (1992) "A General Overview of Viral Vaccine Development," <i>Genetically Engineered Vaccines</i> 327:51-57.
JS	DR	Szikora et al. (1990) "Structure of the gene of tum-transplantation antigen P35B presence of a point mutation in the antigenic allele", <i>EMBO J.</i> 9(4):1041-1050.
JS	DS	Thomas et al. (1982) "Molecular and Cellular Effects of Heat Shock and Related Treatments of Mammalian Tissue-Culture Cells", <i>Cold Spring Harbor Symp Quant Biol</i> 46:985-996.
JS	DT	Udono (1993) "Heat shock proteins HSP70, HSP90 and GP96 elicit tumor specific immunity to the tumors from which they are isolated", <i>J. Cell. Biochem. Suppl.</i> 17D:113 (Abstract NZ225).
JS	DU	Udono et al. (1993) "Heat Shock Protein 70-associated Peptides Elicit Specific Cancer Immunity", <i>J. Exp. Med.</i> 178:1391-1396.
JS	DV	Udono et al. (1994) "Comparison of Tumor-Specific Immunogenicities of Stress-Induced Proteins gp96, hsp90, and hsp70", <i>J. Immunol.</i> 152:5398-5403.
JS	DW	Udono et al. (1994) "Cellular requirements for tumor-specific immunity elicited by heat shock proteins: Tumor rejection antigen gp96 primes CD8+ T cells in vivo", <i>Proc. Natl. Acad. Sci. (USA)</i> 91:3077-3081.
JS	DX	Ullrich et al. (1986) "A mouse tumor-specific transplantation antigen is a heat shock-related protein", <i>Proc. Natl. Acad. Sci. USA</i> 83:3121-3125.
JS	DY	Vanbuskirk et al. (1989) "Peptide binding protein having a role in antigen presentation is a member of the hsp70 heat shock family", <i>J. Exp. Med.</i> 170:1799-1809.
JS	DZ	Van den Enyde et al. (1991) "The gene coding for a major tumor rejection antigen of tumor P815 is identical to the normal gene of syngeneic DBA/2 mice", <i>J. Exp. Med.</i> 173:1373-1384.
JS	EA	Vitanen et al. (1992) "Mammalian Mitochondrial Chaperonin 60 Functions as a single Toroidal Ring", <i>J. Biol. Chem.</i> 267:695-698.
JS	EB	Welch et al. (1982) "Purification of the Major Mammalian Heat Shock Proteins", <i>J. Biol. Chem.</i> 257:14949-14959.
JS	EC	Welch et al. (1985) "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", <i>Mol. Cell. Biol.</i> 5:1229-1237.

Judy-Lill Tidwell 2-17-06

<i>DT</i>	ED	Welch (1993) "How Cells Respond to Stress", <i>Scientific American</i> pp. 56-64.
<i>DT</i>	EE	Young (1990) "Stress Proteins and Immunology", <i>Annu. Rev. Immunol.</i> 8:401-420.
<i>DT</i>	EF	Yu et al. (1991) "Sequence Analysis of Peptides Bound to MHC Class II Molecules", <i>Nature</i> 353:622-627.
<i>DT</i>	EJ	Maki (1991) "The Human Homologue of the Mouse Tumor Rejection Antigen GP96", Ph.D. thesis, Cornell University.
<i>DT</i>	EK	Srivastava and Old (1989) "Gp96 Molecules: Recognition Elements in Tumor Immunity", <i>Human Tumor Antigens and Specific Tumor Therapy</i> , pages 63-71.
<i>DT</i>	EL	Srivastava et al. (1990) "Immunization with Soluble Gp96 Antigens Elicits Tumor-Specific Cellular Immunity", <i>Cellular Immunity and the Immunotherapy of Cancer</i> , pages 307-314

EXAMINER <i>Judy Lilli Tidwell</i>	DATE CONSIDERED <i>2-17-06</i>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-183-999

SERIAL NO.

09/992,613

APPLICANT

Pramod K. Srivastava

FILING DATE

November 14, 2001

GROUP

1642

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JS	EN	10/180,592		Pramod K. Srivastava			6/25/02
JS	EO	10/180,562		Pramod K. Srivastava			6/25/02
JS	EP	10/180,593		Pramod K. Srivastava			6/25/02
JS	EQ	10/180,563		Pramod K. Srivastava			6/25/02

RECEIVED

JAN 02 2003

TECH CENTER 1600/2900

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

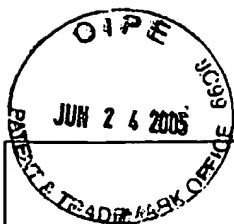
EXAMINER

*Judy A. L. L. L.*

DATE CONSIDERED

*2-17-06*

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Express Mail No.: **EV 654 850 418 US**

Sheet 1 of 1

**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-183-999

APPLICATION NO.

09/992,613

APPLICANT

Srivastava

FILING DATE

November 14, 2001

GROUP

1642

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JST	ER	5,652,115	07/29/97	Marks <i>et al.</i>	435	7.23	

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO

**OTHER REFERENCES** (Including Author, Title, Date, Pertinent Pages, Etc.)

JST	ES	Clarke, et al., 1988, "Purification of complexes of nuclear oncogene p53 with rat and Escherichia coli heat shock proteins: in vitro dissociation of hsc70 and dnaK from murine p53 by ATP," Mol. Cell Biol. 8(3):1206-1215
JST	ET	Davidoff et al., 1992, "Immune response to p53 is dependent upon p53/HSP70 complexes in breast cancers," Proc. Natl. Acad. Sci. USA 89(8):3439-3442
JST	EU	Halevy et al., 1990, "Different tumor-derived p53 mutants exhibit distinct biological activities," Science 250(4977):113-116
JST	EV	Hinds et al., 1990, "Mutant p53 DNA clones from human colon carcinomas cooperate with ras in transforming primary rat cells: a comparison of the "hot spot" mutant phenotypes," Cell Growth Differ. 1(12):571-580
JST	EW	Hinds et al., 1987, "Immunological evidence for the association of p53 with a heat shock protein, hsc70, in p53-plus-ras-transformed cell lines," Mol. Cell Biol. 7(8):2863-2869
JST	EX	Pinhasi-Kimhi, 1986, "Specific interaction between the p53 cellular tumour antigen and major heat shock proteins," Nature 320(6058):182-184

EXAMINER

DATE CONSIDERED

2-17-06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.